

**REPORT ON COMPLIANCE WITH CIVIL RIGHTS LAWS
INCLUDING
AGENCY TITLE VI IMPLEMENTATION PLANS,
UPDATES, AND COMPLIANCE REPORTS**

AS REQUIRED BY KRS CHAPTER 344

For The Year Ended June 30, 2002



**EDWARD B. HATCHETT, JR.
AUDITOR OF PUBLIC ACCOUNTS
www.kyauditor.net**

**144 CAPITOL ANNEX
FRANKFORT, KENTUCKY 40601
TELEPHONE (502) 564-5841
FACSIMILE (502) 564-2912**



EDWARD B. HATCHETT, JR.
AUDITOR OF PUBLIC ACCOUNTS

January 31, 2003

To the People of Kentucky

Honorable Paul E. Patton, Governor
Honorable Jody Richards, Speaker of the House
Honorable David L. Williams, President of the Senate
Beverly Watts, Executive Director, Commission on Human Rights
Robert Sherman, Director, Legislative Research Commission

In accordance with Chapter 344.015(3) of the Kentucky Revised Statutes, the Auditor of Public Accounts submits the Commonwealth of Kentucky's *Report on Compliance With Civil Rights Laws Including Agency Title VI Implementation Plans, Updates, and Compliance Reports* of state agencies.

Title VI of the Civil Rights Act of 1964 prohibits any program or activity receiving federal funds from excluding participation, denying benefits, or subjecting any individual to discrimination on the basis of "race, color, or national origin." In accordance with legislation passed by the 1994 General Assembly, state agencies receiving federal funds are required to develop an implementation plan and submit annual compliance reports to the Auditor of Public Accounts, so that the public may learn whether and how well state agencies are complying with Title VI. The Office of the Auditor of Public Accounts compiles Title VI plans, updates, and compliance reports of state agencies.

The results of this compilation are contained in the attached report.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Ed Hatchett".

Edward B. Hatchett, Jr.
Auditor of Public Accounts



REPORT ON COMPLIANCE WITH CIVIL RIGHTS LAWS INCLUDING AGENCY TITLE VI IMPLEMENTATION PLANS, UPDATES, AND COMPLIANCE REPORTS

EXECUTIVE SUMMARY YEAR ENDED JUNE 30, 2002

Title VI of the Federal Civil Rights Act of 1964 guarantees the access of all citizens to federally assisted programs. Section 601 of the Federal Civil Rights Act of 1964 states, “No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.”

Purpose and Scope

In 1994, the General Assembly enacted Senate Bill 248 (KRS 344.015). This bill requires all state agencies to prepare and submit Title VI implementation plans and annual plan updates to the Auditor of Public Accounts and the Kentucky Commission on Human Rights by July 1 of each year, if the agency is subject to Title VI of the Federal Civil Rights Act of 1964. This report contains the Title VI implementation plans and annual updates due July 1, 2002.

45 KAR 1:080 states that the Auditor of Public Accounts is responsible for preparing and issuing the Statewide Single Audit of Kentucky, including compliance with Title VI requirements. 45 KAR 1:080 also details the format that agencies are required to use when submitting the initial Title VI plan and annual plan updates.

Compliance Assessment

Representatives from the Auditor’s office reviewed each agency’s Title VI implementation plan and annual plan update due July 1, 2002. A spreadsheet detailing each agency’s compliance with the 13 requirements of 45 KAR 1:080 was prepared and is presented herein (pages 17 to 19). (See pages 22 to 23 for 45 KAR 1:080. Note that 1-13 across the top of the table corresponds to the 13 required components per 45 KAR 1:080 Section (4). The six (6) components to be updated annually are shaded.)

Findings

Each of the twenty-nine (29) applicable agency plans submitted were tested for the thirteen (13) compliance requirements in accordance with 45 KAR 1:080. Of the 377 compliance requirements, there were sixteen (16) instances of non-compliance, for a 4% non-compliance rate.

CONTENTS

	Page
Title VI Of The Federal Civil Rights Act Of 1964	
Nondiscrimination In Federally Assisted Programs	1
KRS 344.015.....	4
45 KAR 1:080.....	7
Schedule Of Compliance With 45 KAR 1:080 Section (4).....	12
Agencies Receiving Federal Funds And The Date Of Receipt	
By The Auditor Of Public Accounts Of Agency Plans/Updates	17
General Government Cabinet.....	20
Department Of Agriculture	20
Department For Local Government	45
Department Of Military Affairs	64
Education Professional Standards Board	71
Kentucky Board Of Emergency Medical Services	80
Kentucky Commission On Human Rights.....	93
Kentucky Council On Postsecondary Education	134
Office Of The Attorney General	155
Office Of The Governor.....	168
Kentucky Justice Cabinet.....	180
Department Of Corrections	180
Department Of Criminal Justice Training	180
Department Of Juvenile Justice.....	180
Department Of State Police.....	180
Education Arts And Humanities Cabinet.....	205
Kentucky Department Of Education	205
Kentucky Educational Television (KET).....	205
Kentucky Center For The Arts.....	205
Kentucky Department For Libraries And Archives	205
Kentucky Heritage Council.....	205
Kentucky Historical Society.....	205
The Kentucky Arts Council.....	205
Natural Resources And Environmental Protection Cabinet.....	226
Kentucky Transportation Cabinet	253
Cabinet For Economic Development.....	282
Public Protection And Regulation Cabinet.....	293
Crime Victims Compensation Board	293
Department Of Alcoholic Beverage Control.....	310
Department Of Mines And Minerals.....	325
Department Of Public Advocacy	334
Public Service Commission	341

CONTENTS (Continued)

	Page
Finance And Administration Cabinet	358
Office Of EEO And Contract Compliance.....	358
Kentucky Infrastructure Authority	358
Department For Administration – Division Of Surplus Property	358
Office Of The Controller.....	358
Kentucky Higher Education Assistance Authority	377
Kentucky Higher Education Student Loan Corporation	406
Kentucky Housing Corporation	419
Kentucky Tourism Development Cabinet.....	452
Department Of Travel	452
Department Of Fish And Wildlife Resources	452
Department Of Parks	452
Kentucky Labor Cabinet.....	469
Cabinet For Workforce Development	488
Cabinet For Families And Children.....	507
Cabinet For Health Services.....	550
Office Of Aging Services	550
Commission For Children With Special Health Care Needs	550
Office Of The Inspector General.....	550
Department For Medicaid Services	550
Department For Mental Health/Mental Retardation	550
Department For Public Health	550
Kentucky Revenue Cabinet.....	685

**TITLE VI OF THE FEDERAL CIVIL RIGHTS ACT OF 1964
NONDISCRIMINATION IN FEDERALLY ASSISTED
PROGRAMS**

**TITLE VI OF THE FEDERAL CIVIL RIGHTS ACT OF 1964
NONDISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

42 U.S.C.A. §§ 2000d THROUGH 2000d-4a

SEC. 2000d. No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

SEC. 2000d-1. Each Federal department and agency which is empowered to extend Federal financial assistance to any program or activity, by way of grant, loan, or contract other than a contract of insurance or guaranty, is authorized and directed to effectuate the provisions of section 2000d of this title with respect to such program or activity by issuing rules, regulations, or orders of general applicability which shall be consistent with achievement of the objectives of the statute authorizing the financial assistance in connection with which the action is taken. No such rule, regulation, or order shall become effective unless and until approved by the President. Compliance with any requirement adopted pursuant to this section may be effected (1) by the termination of or refusal to grant or to continue assistance under such program or activity to any recipient as to whom there has been an express finding on the record, after opportunity for hearing, of a failure to comply with such requirement, but such termination or refusal shall be limited to the particular political entity, or part thereof, or other recipient as to whom such a finding has been made and, shall be limited in its effect to the particular program, or part thereof, in which such non-compliance has been so found, or (2) by any other means authorized by law: provided, however, that no such action shall be taken until the department or agency concerned has advised the appropriate person or persons of the failure to comply with the requirement and has determined that compliance cannot be secured by voluntary means. In the case of any action terminating, or refusing to grant or continue, assistance because of failure to comply with a requirement imposed pursuant to this section, the head of the Federal department or agency, shall file with the committees of the House and Senate having legislative jurisdiction over the program or activity involved a full written report of the circumstances and the grounds for such action. No such action shall become effective until thirty days have elapsed after the filing of such report.

SEC. 2000d-2. Any department or agency action taken pursuant to section 2000d- I of this title shall be subject to such judicial review as may otherwise be provided by law for similar action taken by such department or agency on other grounds. In the case of action, not otherwise subject to judicial review, terminating or refusing to grant or to continue financial assistance upon a finding of failure to comply with any requirement imposed pursuant to section 2000d- I of this title, any person aggrieved (including any State or political subdivision thereof and any agency of either) may obtain judicial review of such action in accordance with chapter 7 of Title 5, and such action shall not be deemed committed to unreviewable agency discretion within the meaning of that chapter.

TITLE VI OF THE FEDERAL CIVIL RIGHTS ACT OF 1964
NONDISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS
42 U.S.C.A. §§ 2000d THROUGH 2000d-4a
(Continued)

SEC. 2000d-3. Nothing contained in this subchapter shall be construed to authorize action under this subchapter by any department or agency with respect to any employment practice of any employer, employment agency, or labor organization except where a primary objective of the Federal financial assistance is to provide employment.

SEC. 2000d-4. Nothing in this subchapter shall add to or detract from any existing authority with respect to any program or activity under which Federal financial assistance is extended by way of a contract of insurance or guaranty.

SEC. 2000d-4a. For the purposes of this subchapter, the term "program or activity" and the term "program" mean all of the operations of

- (1) (A) a department, agency, special purpose district, or other instrumentality of a State or of a local government; or
(B) the entity of such State or local government that distributes such assistance and each such department or agency (and each other State or local government entity) to which the assistance is extended, in the case of assistance to a State or local government;
- (2) (A) a college, university, or other postsecondary institution, or public system of higher education; or
(B) a local educational agency (as defined in section 8801 of Title 20), system of vocational education, or other school system;
- (3) (A) an entire corporation, partnership, or other private organization, or an entire sole proprietorship
 - (i) if assistance is extended to such corporation, partnership, private organization, or sole proprietorship as a whole; or
 - (ii) which is principally engaged in the business of providing education, health care, housing, social services, or parks and recreation; or
(B) the entire plant or other comparable, geographically separate facility to which Federal financial assistance is extended, in the case of any other corporation, partnership, private organization, or sole proprietorship; or
- (4) any other entity which is established by two or more of the entities described in paragraph (1), (2), or (3); any part of which is extended Federal financial assistance.

NOTE: 42 U.S.C.A. Ji 2000d-5 through 2000d-7 are not reproduced here.

KRS 344.015

**KRS 344.015. IMPLEMENTATION PLANS FOR FEDERAL CIVIL RIGHTS ACT,
TITLE VI BY STATE AGENCIES.**

- (1) As used in this section, “state agency” means any department or administrative body of state government, as defined in KRS 12.010, that is subject to the requirements of Title VI of the Federal Civil Rights Act of 1964, 42 U.S.C. secs. 2000d et seq., and regulations promulgated thereunder.
- (2) Each state agency shall:
 - a) Develop a Title VI implementation plan by January 1, 1995. If required by Title VI or regulations promulgated thereunder, the implementation plan shall:
 1. Be developed with the participation of protected beneficiaries; and
 2. Include Title VI implementation plans of any subrecipients of federal funds through the state agency;
 - b) Submit a copy of the implementation plan to the Auditor of Public Accounts and the Human Rights Commission; and
 - c) Submit annual Title VI compliance reports and any implementation plan updates to the Auditor of Public Accounts and the Human Rights Commission by July 1, 1995, and each July 1 thereafter.
- (3) The Auditor of Public Accounts shall prepare a report on the actions which state agencies are required to take to implement Title VI, and a report summarizing and evaluating, relative to the required implementation actions, the initial state agency implementation plans and including audit findings from the Auditor of Public Accounts field reviews. The Auditor of Public Accounts shall transmit the reports to the Governor, the Human Rights Commission, the Legislative Research Commission, and each state agency. The Auditor of Public Accounts may prescribe the report format, procedure, and time frame for purposes of complying with this subsection. The prescribed format, procedure, and time frame shall be established by administrative regulation pursuant to KRS Chapter 13A.
- (4) In addition to being available from the promulgating state agency, all implementation plans, reports, and updates required by and submitted under subsection (2) of this section shall be available for inspection and copying under KRS 61.870 to 61.884 in the offices of the Auditor of Public Accounts.
- (5) In any annual audit made of a state agency under KRS 43.050, the Auditor of Public Accounts shall determine whether the state agency has complied with subsections (2) of this section and shall include the determination in the audit report.
- (6) To the extent permitted by federal law or regulation, any increased costs incurred by a state agency, the Auditor of Public Accounts, or the Human Rights Commission under this sections shall be paid from any available federal funds that may be used for implementation of Title VI of the Federal Civil Rights Act of 1964.

(Enact. Acts 1994, ch. 204, § 1, effective July 15, 1994.)

THIS PAGE LEFT BLANK INTENTIONALLY

45 KAR 1:080

45 KAR 1:080. STANDARDS FOR TITLE VI REPORTING.

RELATES TO: KRS Chapter 344, 42 USC 2000d

STATUTORY AUTHORITY: KRS 344.015

NECESSITY, FUNCTION, AND CONFORMITY: The 1994 General Assembly enacted Senate Bill 248 (KRS 344.015) which requires that all state agencies as defined in KRS 12.010 prepare and submit Title VI implementation plans and annual updates to the Auditor of Public Accounts if the agency is subject to Title VI of the Federal Civil Rights Act of 1964. The Auditor of Public Accounts is responsible for the preparation and issuance of the Single Statewide Audit of Federal Funds for Kentucky state government including compliance with Title VI requirements. This administrative regulation establishes the uniform format agencies are required to use when submitting the Initial Implementation Title VI Plan and Annual Plan Updates to the Auditor of Public Accounts.

Section 1. (1) Title VI Initial Implementation Plan and Annual Plan Updates shall:

- (a) Be submitted in the format set out in Section 4 of this administrative regulation; and
- (b) Contain the information specified by the provisions of this administrative regulation.
- (2) The entire agency shall be in compliance with Title VI, even if only one (1) federal grant is received.
- (3) Standard complaint forms or guidelines shall be developed and adopted by the agency.
- (4) Complaints shall be filed orally or in writing.
- (5) A compliance review instrument shall be developed by the agency, such as, a self-survey, assessment checklist, pre-award, routine or enforcement plan, along with the criteria for selecting and scheduling reviews.
- (6) The agency shall provide persons with information relating to its Title VI plan, nondiscrimination policies, complaint procedures, programs and services.
 - (a) This information may include, brochures, newsletters, contract agreements, educational materials, Title VI Act and federal regulations, and preventive outreach programs.
 - (b) Informational materials shall be made available in a centralized place for distribution upon request.
- (7) The agency shall submit annual Title VI compliance reports and updates to the plan.
- (8) Agency and sub recipients shall establish a system for data collection and reporting data which shows the extent to which members of protected parties are participating in the programs and activities.

Section 2. For all state agencies receiving federal funds, an annual Title VI plan update shall be submitted to the Auditor of Public Accounts and the Kentucky Commission on Human Rights by July 1, 1995 and by July 1 each year thereafter.

Section 3. If a state agency that was not a recipient of federal funds on January 1, 1995, receives federal funds it shall prepare and submit the Title VI implementation plan within ninety (90) days of award and receipt of the federal funds.

Section 4. The federal Title VI implementation plan shall contain the information prescribed by this section in succinct and concise language. Subsections (6), (7), (9), (10), (12) and (13) of this section shall be updated annually.

45 KAR 1:080 (Continued)

- (1) Glossary/definitions. Definitions of all common terms stated in the plan shall be included in this section to ensure that agency staff, recipients and beneficiaries have consistent applicable definitions.
- (2) Overview. A clear and brief description of the agency mission and structure and the relationship of Title VI requirements to the agency's operations.
- (3) Scope of Title VI applicability to programs and activities. Specify prohibited discrimination practices under Title VI in relation to agency activities.
- (4) Responsible official. The name, title, address and telephone number of the primary contact for the agency and the person in charge of implementation, compliance and reporting shall be designated in this section.
- (5) Statement of assurances.
 - (a) Provide a statement that the agency, sub recipients and all parties involved have complied with Title VI.
 - (b) This statement shall be consistent with any assurances provided to the applicable federal agency which provides funding for covered activities. Also include:
 1. A statement that a sub recipient shall have agreed in writing to adopt the Title VI plan of that agency.
 2. If the sub recipient's Title VI plan differs from the state agency plan, a statement that the sub recipient plan shall be available for review from the name and title of officials identified in subsection (4) of this section.
- (6) Identify programs or activities subject to Title VI.
 - (a) Identify each program, type of assistance identified in the federal grant agreement, and the manner in which the agency shall deliver the service or perform the activity.
 - (b) List the federal program, coverages and potential beneficiaries.
- (7) Complaint procedures.
 - (a) Describe the complaint procedures within the agency as follows:
 1. How a complaint shall be filed;
 2. Where to file a complaint;
 3. Time frame within which the complaint shall be processed by the agency; and
 4. Withdrawal of a complaint;
 - (b) Describe agency procedures relating to investigations, report of findings, hearings and appeals.
- (8) Compliance/noncompliance reporting.
 - (a) Describe agency plans to regulate, monitor, review, and report on the federal programs to assure compliance.
 - (b) Identify actions to be taken by the agency upon a finding of noncompliance, including:
 1. Processing;
 2. Reporting;
 3. Resolution;
 4. Enforcement of corrective actions; and
 5. Monitoring of programs.
- (9) Agency training plan.
 - (a) Describe the agency education and training plan, orientation, and technical assistance related to agency implementation of the plan;

45 KAR 1:080 (Continued)

- (b) Identify ways the agency plans to improve staff capability, knowledge and effectiveness.
- (10) Evaluation procedures of Title VI plan.
 - (a) Specify how the agency shall measure its goals and the time frame established to achieve those goals.
 - (b) The agency shall:
 - 1. Describe how it plans to evaluate the Title VI plan and maintain continued compliance;
 - 2. Identify any existing needs or plan deficiencies;
 - 3. Maintain written progress reports; and
 - 4. Describe corrective procedures.
 - (11) Public notice and outreach.
 - (a) Identify how the agency shall inform persons about the agency's:
 - 1. Title VI plan;
 - 2. Complaint procedures;
 - 3. Nondiscrimination policy; and
 - 4. Programs and services.
 - (b) Identify the agency contact person, office or department responsible for distribution of information relating to paragraph (a) of this subsection.
 - (12) Recordkeeping and reporting.
 - (a) Describe the recordkeeping procedures for the following:
 - 1. Filing and processing of complaints;
 - 2. Administrative data or records applicable to the plan;
 - 3. Data sheets, including, a complaint log or performance reports, standardized forms, and retention of records.
 - (b) Changes in subsections (8) and (9) of this section of the plan shall be identified in this subsection.
 - (c) Provide reporting data showing the extent to which members of protected parties are participating in the Title VI programs and activities.
 - (13) Minority representation on planning board or advisory body.
 - (a) Describe the representation of minorities on any agency board or advisory body;
 - (b) If minority representation is deficient on these bodies, describe what policy the agency shall implement to ensure minority participation on advisory bodies; and
 - (c) Describe the race and national origin of the agency's staff.

Section 5. The agency shall submit Title VI initial plans, and annual Title VI plan updates on the "Commonwealth of Kentucky, Auditor of Public Accounts, Title VI of the Federal Civil Rights Act, Implementation Initial Plan and Plan Update Form" (1995).

Section 6. Incorporation By Reference. (1) "Commonwealth of Kentucky, Auditor of Public Accounts, Title VI of the Federal Civil Rights Act, Implementation Initial Plan and Plan Update Form" (1995) is incorporated by reference.

- (2) This document may be inspected, copied, or obtained at the Office of the Auditor of Public Accounts, 144 Capitol Annex, Frankfort, Kentucky 40601, 8 a.m. to 4:30 p.m., Monday through Friday. (21 Ky.R. 1399; eff. 2-8-95.)

THIS PAGE LEFT BLANK INTENTIONALLY

SCHEDULE OF COMPLIANCE WITH 45 KAR 1:080 SECTION (4)

**Schedule of Compliance With 45 KAR 1:080 Section (4)
Year Ended June 30, 2002**

Purpose: To test Title VI Implementation Plan Updates for compliance/completeness and accurate reporting in accordance with 45 KAR 1:080 Section (4) "Standards for Title VI Reporting."

Source: Auditor; Title VI Implementation Plans for the fiscal year ended June 30, 2002.

Note: 1-13 across the top correspond to the thirteen (13) required components per 45 KAR 1:080 Section (4). The six (6) components required to be updated annually are highlighted.

	Glossary	Overview	Scope Applicability	Responsible Official	Statement of Assurances	ID Programs Under Title VI	Complaint Procedures	Noncomply-Comply Report	Agency Training Plan	Evaluation Proc. Of Plan	Notice and Outreach	Recordkeeping and Reporting	Minority Rep. On Board
Agency	1	2	3	4	5	6	7	8	9	10	11	12	13
General Government Cabinet	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Department of Agriculture	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Department for Local Government	✓	✓	✓	✓	✓	✗	✓	✓	✓	✓	✓	✓	✓
Department of Military Affairs	✓	✓	✓	✓	✓	✗	✗	✓	✗	✗	✓	✗	✗
Education Professional Standards Board	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Kentucky Board of Emergency Medical Services	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Kentucky Commission on Human Rights	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Kentucky Council on Postsecondary Education	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Office of the Attorney General	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Office of the Governor	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Kentucky Justice Cabinet- Office of the Secretary	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Department of Corrections													
Department of Criminal Justice Training													
Department of Juvenile Justice													
Department of State Police													
Education, Arts and Humanities Cabinet	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✗
Kentucky Department of Education													
Kentucky Educational Television (KET)													
Kentucky Center for the Arts													
Kentucky Department for Libraries and Archives													
Kentucky Heritage Council													
Kentucky Historical Society													
The Kentucky Arts Council													
Natural Resources and Environmental Protection Cabinet	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Kentucky Transportation Cabinet	✓	✓	✓	✓	✓	✓	✓	✓	✗	✗	✓	✗	✗
Cabinet for Economic Development	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Public Protection and Regulation Cabinet	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Crime Victims Compensation Board	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✗
Department of Alcoholic Beverage Control	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Department of Mines and Minerals	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Department of Public Advocacy	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✗
Public Service Commission	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Tickmark Legend:

- ✓ Contains the necessary information to be in compliance with the requirements of Title VI.
- ✗ Does not meet the compliance requirements of Title VI.
- █ Adopted Cabinet Title VI plan (not an exception).
- Each individual agency submitted a plan or update (not an exception).

Schedule of Compliance With 45 KAR 1:080 Section (4)
Year Ended June 30, 2002
(Continued)

	Glossary	Overview	Scope Applicability	Responsible Official	Statement of Assurances	ID Programs Under Title VI	Complaint Procedures	Noncomply-Comply Report	Agency Training Plan	Evaluation Proc. Of Plan	Notice and Outreach	Recordkeeping and Reporting	Minority Rep. On Board
Finance and Administration Cabinet	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Office of EEO and Contract Compliance	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Kentucky Infrastructure Authority													
Department for Administration - Division of Surplus Property													
Office of the Controller													
Kentucky Higher Education Assistance Authority	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Kentucky Higher Education Student Loan Corporation	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Kentucky Housing Corporation	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Kentucky Tourism Development Cabinet	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✗
Department of Travel													
Department of Fish and Wildlife Resources													
Department of Parks													
Kentucky Labor Cabinet	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Cabinet for Workforce Development -Office of the Secretary	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Cabinet for Families and Children	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Cabinet for Health Services	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Office of Aging Services													
Commission for Children with Special Health Care Needs													
Office of the Inspector General													
Department for Medicaid Services													
Department for Mental Health/Mental Retardation													
Department for Public Health													
Kentucky Revenue Cabinet	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

Tickmark Legend:

- ✓ Contains the necessary information to be in compliance with the requirements of Title VI.
- ✗ Does not meet the compliance requirements of Title VI.
- Adopted Cabinet Title VI plan (not an exception).
- Each individual agency submitted a plan or update (not an exception).

Schedule Of Compliance With 45 KAR 1:080 Section (4)
Year Ended June 30, 2002
 (Continued)

Summary:

We reviewed each Title VI update and implementation plan submitted by federally funded agencies to determine if the agency was in compliance with the requirements of 45 KAR 1:080 and KRS 344.015. All agencies receiving federal funds, except for universities and colleges, for fiscal year 2002 submitted Title VI plans/updates. Universities and colleges are not listed in the Schedule of Expenditures of Federal Awards or the Statewide Single Audit of Kentucky and have their own reporting requirements for Title VI. In reviewing the 29 Title VI plans submitted by the agencies, we found the following:

45 KAR 1:080 Requirement	Number of Problems In Requirement Area
1	0
2	0
3	0
4	0
5	0
6	2
7	1
8	0
9	2
10	2
11	0
12	2
13	6

Conclusion and Recommendation:

The Title VI implementation plans and/or updates submitted by agencies receiving federal funds have been examined for compliance with 45 KAR 1:080. In performing this test, we noted that all shaded areas had instances of noncompliance.

Each agency will receive a copy of this report that will notify them of non-compliance in accordance with 45 KAR 1:080 and KRS. 344.015.

THIS PAGE LEFT BLANK INTENTIONALLY

**AGENCIES RECEIVING FEDERAL FUNDS AND THE DATE OF
RECEIPT BY THE AUDITOR OF PUBLIC ACCOUNTS OF
AGENCY PLANS/UPDATES**

**State Agencies Receiving Federal Funds as of June 30, 2002
and Date Plan/Update Received by APA**

Purpose: To determine if Title VI Plans were submitted timely in accordance with KRS 344.015(2)(c), each state shall: “submit annual Title VI compliance reports and any implementation plan updates to the Auditor of Public Accounts and Human Rights Commission by **July 1, 1995 and each July 1 thereafter.**” (Bolded for emphasis)

Source: Agency Implementation Plans/Updates

Agency Receiving Federal Funds as of June 30, 2002	Date Plan, Update, or Report Received	Was Date Plan Received Timely?
General Government Cabinet	Plans were submitted by each agency	
Department of Agriculture	6/28/2002	Yes
Department for Local Government	7/1/2002	Yes
Department of Military Affairs	6/28/2002	Yes
Education Professional Standards Board	6/30/2002	Yes
Kentucky Board of Emergency Medical Services	10/16/2002	No
Kentucky Commission on Human Rights	6/27/2002	Yes
Kentucky Council on Postsecondary Education	7/1/2002	Yes
Office of the Attorney General	6/27/2002	Yes
Office of the Governor	7/1/2002	Yes
Kentucky Justice Cabinet	7/1/2002	Yes
Department of Corrections	Adopted cabinets plan	Yes
Department of Criminal Justice Training	Adopted cabinets plan	Yes
Department of Juvenile Justice	Adopted cabinets plan	Yes
Department of State Police	Adopted cabinets plan	Yes
Education, Arts and Humanities Cabinet	6/21/2002	Yes
Kentucky Department of Education	Adopted cabinets plan	Yes
Kentucky Educational Television (KET)	Adopted cabinets plan	Yes
Kentucky Center for the Arts	Adopted cabinets plan	Yes
Kentucky Department for Libraries and Archives	Adopted cabinets plan	Yes
Kentucky Heritage Council	Adopted cabinets plan	Yes
Kentucky Historical Society	Adopted cabinets plan	Yes
The Kentucky Arts Council	Adopted cabinets plan	Yes
Natural Resources and Environmental Protection Cabinet	6/28/2002	Yes
Kentucky Transportation Cabinet	7/3/2002	No
Cabinet for Economic Development	6/27/2002	Yes
Public Protection and Regulation Cabinet	Plans were submitted by each agency	
Crime Victims Compensation Board	8/27/2002	No
Department of Alcoholic Beverage Control	6/28/2002	Yes
Department of Mines and Minerals	7/3/2002	No
Department of Public Advocacy	6/27/2002	Yes
Public Service Commission	6/28/2002	Yes

**State Agencies Receiving Federal Funds as of June 30, 2002
and Date Plan/Update Received by APA**
(Continued)

Agency Receiving Federal Funds as of June 30, 2002	Date Plan, Update, or Report Received	Was Date Plan Received Timely?
Finance and Administration Cabinet	Plans were submitted by each agency	
Office of EEO and Contract Compliance	7/2/2002	No
Kentucky Infrastructure Authority	Adopted cabinets plan	No
Department for Administration - Division of Surplus Property	Adopted cabinets plan	No
Office of the Controller	Adopted cabinets plan	No
Kentucky Higher Education Assistance Authority	7/1/2002	Yes
Kentucky Higher Education Student Loan Corporation	6/7/2002	Yes
Kentucky Housing Corporation	6/28/2002	Yes
Kentucky Tourism Development Cabinet	3/22/2002	Yes
Department of Travel	Adopted cabinets plan	Yes
Department of Fish and Wildlife Resources	Adopted cabinets plan	Yes
Department of Parks	Adopted cabinets plan	Yes
Kentucky Labor Cabinet	7/1/2002	Yes
Cabinet for Workforce Development - Office of the Secretary	6/27/2002	Yes
Cabinet for Families and Children	6/28/2002	Yes
Cabinet for Health Services	7/18/2002	No
Office of Aging Services	Adopted cabinets plan	No
Commission for Children with Special Health Care Needs	Adopted cabinets plan	No
Office of the Inspector General	Adopted cabinets plan	No
Department for Medicaid Services	Adopted cabinets plan	No
Department for Mental Health/Mental Retardation	Adopted cabinets plan	No
Department for Public Health	Adopted cabinets plan	No
Kentucky Revenue Cabinet	6/20/2002	Yes

Conclusion: Twenty-nine (29) Title VI plans were submitted to the Auditor of Public Accounts. Of the 29 plans received, six (6) of those plans were not received timely in accordance with KRS 344.015. Approximately 21% of the plans were submitted late.